

# APA Corrective Action Plan Status Report - September 2006

## Audit of Commonwealth IT Governance and VITA Operations as of 4/7/06

Nine of the 21 planned corrective actions are complete while two are given “yellow” status. The current statuses for the 21 corrective actions are as follows:

- ❖ **Green** - 19 objectives (or 90.5%)
- ❖ **Yellow** - 2 objectives (or 9.5%)
- ❖ **Red** - 0 objectives (or 0%)

VITA Objective	Due Date	Status	Comments
1. Address Conflict in Dual CIO Roles	10/06	Green	<ul style="list-style-type: none"> <li>Chairman has taken steps to involve ITIB in a lead role for VITA Governance activities with the Gov.'s Admin. in the areas of enterprise systems, EA leadership &amp; administration, RTIP reporting, establishing a new customer advisory council &amp; accepting the Governor's app't to the COVF. (J. McGuirk)</li> </ul>
2. Continue to Support COVF's Roadmap	07/06	Green	<ul style="list-style-type: none"> <li><b>Complete</b></li> </ul>
3. ITIB & CIO Execute an IT Strategic Communications Plan	07/06	Green	<ul style="list-style-type: none"> <li><b>Complete</b></li> </ul>
4. Improve Agency Strategic Planning & IT Investment Decision Process	11/06	Green	<ul style="list-style-type: none"> <li>ITIB &amp; COVF have est. long-term strategic ties, incl. new COVF Innovative Solutions Committee chaired by SoTech; new PMO office focused on enterprise solutions, &amp; ITIB chair as member of COVF. <b>Actions complete.</b></li> </ul>
5. Ensure Agencies Understand How Agency IT Strategic Planning Process Supports the COV Plan	07/06	Green	<ul style="list-style-type: none"> <li>Tasks 1 &amp; 2 were prev. completed. Task 3 now complete. The IT Summary Section was rewritten in July &amp; submitted to DPB as an update for the Agency Strategic Planning Handbook. The publication date for the Handbook update has not been announced by DPB. <b>Actions complete.</b></li> </ul>
6. Change IT Project Submission Deadline	06/07	Green	<ul style="list-style-type: none"> <li>Task 1 is partially complete. Issue has been coordinated with DPB. Task number 2 is complete. The strategic planning schedule &amp; RTIP due date are on the agenda for the Oct. ITIB meeting. (J. Simonoff)</li> <li></li> </ul>
7. Include Life Cost of Projects	9/07	Green	<ul style="list-style-type: none"> <li>RTIP 2006, approved by the ITIB at 8/06 mtg, was submitted to the Gov. &amp; GA on 9/1/06. DPB budget decision package forms &amp; guidance have been updated to incorporate a 6 yr expenditure projection. <b>Actions complete</b></li> </ul>

VITA Objective	Due Date	Status	Comments
8. Simplify RTIP Project Listing	01/07	Green	<ul style="list-style-type: none"> <li>Task 1 is complete. Task 2 is partially complete. Website dev. is underway. Add'l portfolio views have been posted to ITIB website for RTIP '06. Proposed survey questions to be presented to the ITIB at Oct. mtg. (J. Simonoff)</li> </ul>
9. RTIP Enhancement	02/07	Green	<ul style="list-style-type: none"> <li>Proposed survey questions will be presented to ITIB @ Oct. mtg. (J. Simonoff)</li> </ul>
10. Identify Alternative IT Project Funding	07/06	Green	<ul style="list-style-type: none"> <li>Motion offered to ITIB at July mtg. &amp; was approved. <b>Actions complete.</b></li> </ul>
11. Hire PMD Staff	01/07	Yellow	<ul style="list-style-type: none"> <li>Task 1 is complete, &amp; Task 2 is partially complete, with 11 of 13 positions filled. Further hiring is now on hold, as volume of projects/procurements--the basis for hrly billings--continue far below projections. As directed, PMD will brief the ITIB Finance &amp; Audit Committee at the Oct. mtg on ITIM service fee revenues &amp; the impact on PMD staffing. Task 3, recruiting strategy, terminated due to lack of revenue. Task 4 on hold. (J. Simonoff)</li> </ul>
12. Fix Ops. & Gov. Roles Conflicts	09/06	Green	<ul style="list-style-type: none"> <li>Educational mtgs &amp; discussions held w/all retained staff relative to VITA's ops &amp; governance roles as they pertain to partnership commencement. Clarified at internal mtgs as well as in the all Agency AITR 9/17 mtg. <b>Actions complete.</b></li> </ul>
13. Improve PMD Effectiveness & Efficiency	01/07	Yellow	<ul style="list-style-type: none"> <li>PMO &amp; IT Investment Offices established. Mthly PMD reviews continue. PM specialist assignment to oversee specific Secretariat projects, including on-site observation &amp; coordination with project staff, stakeholders &amp; agency leadership has started. Lower than projected project/procurement volumes--the basis for hrly billings--have put on hold plans to bring on staff to expand contact hours beyond those currently on-board. Continued funding constraints will impact planned Phase 2 corrective actions. (J. Simonoff)</li> </ul>
14. Improve PMD Oversight Policies and Procedures	02/07	Green	<ul style="list-style-type: none"> <li>Task 1 was prev. complete; Tasks 2 &amp; 3 now complete. The PMD oversight methodology has been completed &amp; published in an internal procedure. Due to a 2 month delay in ProSight implementation, PMD will utilize the existing MAC1 system as the system of record for project &amp; procurement documentation until the ProSight portfolio tool comes online. <b>Actions complete.</b></li> </ul>
15. Establish Written Criteria for CIO Project Recommendations	11/06	Green	<ul style="list-style-type: none"> <li>Draft criteria, score card, process diagram, &amp; template for recommending that the CIO modify, suspend or terminate a project developed &amp; under review. (J. Simonoff)</li> </ul>
16. Implement Security Operating Plan	10/06	Green	<ul style="list-style-type: none"> <li>Hired Deputy CISO to start 7/31. Began initial discussions with staff. Had a Security off-site to identify priorities and build a roadmap in August. Translating results into an operating plan. (P. Ward)</li> </ul>

VITA Objective	Due Date	Status	Comments
17. Develop Timeline for Security Standards	10/06	Green	<ul style="list-style-type: none"> <li>Security Policy &amp; two stds. Approved by ITIB. Analysis of remaining areas continues &amp; results will be integrated into the operating plan. (P. Ward)</li> </ul>
18. Adopt Uniform Infrastructure Procedure	06/08	Green	<ul style="list-style-type: none"> <li>The project started on July 1. Executing to plan, on track to meet milestones. Workshops have been scheduled to develop procedures. (F. Duball)</li> </ul>
19. Provide COOP Info. to NG & Develop Plan to Complete COOP	01/07	Green	<ul style="list-style-type: none"> <li>Defined initial emergency communication coordination with NG, briefed on SunGard contract &amp; made customer DR plans available. Initiated discussions with staff for plan. Met with VDEM to revise COV BIA. Formed VITA COOP team with NG members included. (P. Ward)</li> </ul>
20. Dev. Plan to Complete Incident Mgmt. Program incl. Comm. Security Risks	12/06	Green	<ul style="list-style-type: none"> <li>Recruiting for incident management staff. Still recruiting. NG implemented the interim Incident Management solution. (P. Ward)</li> </ul>
21. Revise & Require SOW Template to Document Specific Deliverables	08/06	Green	<ul style="list-style-type: none"> <li>Complete and template in use. <b>Actions complete.</b></li> </ul>

# Internal Audit Services Corrective Action Plan Status Report - September 2006

## Federal Tax Information Safeguards (Tax) & Network Perimeter (NP) Reports

The current statuses for the 6 corrective actions are as follows:

- ❖ **Green** - 6 objectives (or 100%)
- ❖ **Yellow** - 0 objectives (or 0%)
- ❖ **Red** - 0 objectives (or 0%)

VITA Objective	Due Date	Status	Comments
Tax - 1.Update the 1999 TAX/DIT Federal Tax Tape Safeguards MOA	11/06	Green	<ul style="list-style-type: none"> <li>Get final cost figures and revised cover letter. Secure final MOA approval &amp; signatures from VITA and TAX. (D. Secor)</li> </ul>
Tax – 2.Require & Retain Signed Disclosure Statements	12/06	Green	<ul style="list-style-type: none"> <li>Document &amp; implement the procedure for keeping signed statements (DIT Employee Code of Ethics/Confidentiality &amp; Unauthorized Disclosure of Tax Information) on file for all personnel who are authorized to handle Federal tax information, including both employees &amp; contractors. (J. Roberts)</li> </ul>
NP – 1. Enable Router and Firewall Logging	12/06	Green	<ul style="list-style-type: none"> <li>1. Engage NG Continuing Ops &amp; initiate implementation. 2. Monitor completion status thru weekly operations meetings. (F. Duball)</li> </ul>
NP – 2. Install IDS on Network Perimeters	2/07	Green	<ul style="list-style-type: none"> <li>Begin gap analysis process &amp; utilize for agency recommendations. (F. Duball)</li> </ul>
NP – 3. Provide a Consistent Tool for Monitoring Internet Use	2/07	Green	<ul style="list-style-type: none"> <li>Utilize the NG Security Audits to identify where Internet logging and monitoring are not being performed, and utilize this information as an input in prioritizing the customer agency transformation schedule. (F. Duball)</li> </ul>
NP – 4. Revise VITA Central Network Perimeter Policies to Include All VITA	5/07	Green	<ul style="list-style-type: none"> <li>Revise network perimeter policies &amp; procedure to be consistent across the VITA enterprise. (M. Ward)</li> </ul>